



IFW 2624

PTO/SB/17 (07-06)

Approved for use through 01/31/2007. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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|  |  |                          |                                |
|--|--|--------------------------|--------------------------------|
| <b>FEE TRANSMITTAL</b><br><b>For FY 2006</b>                                   |  | <b>Complete if Known</b> |                                |
|  |  | Application Number       | 09/448,301-Conf. #4884         |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27 |  | Filing Date              | November 24, 1999              |
|  |  | First Named Inventor     | Hiroshi YAMAGUCHI              |
|  |  | Examiner Name            | A. H. Do                       |
| TOTAL AMOUNT OF PAYMENT  |  | ( \$ ) 180.00            | Attorney Docket No. 1110-0258P |

|  |   |
|--|---|
| <b>METHOD OF PAYMENT</b> (check all that apply)  |   |
| <input checked="" type="checkbox"/> Check  | <input type="checkbox"/> Credit Card  |
| <input type="checkbox"/> Money Order   | <input type="checkbox"/> None   |
| <input type="checkbox"/> Other (please identify): _____  |   |
| <input type="checkbox"/> Deposit Account   | Deposit Account Number: 02-2448   |
| Deposit Account Name: Birch, Stewart, Kolasch & Birch, LLP   |   |
| For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)                 |   |
| <input type="checkbox"/> Charge fee(s) indicated below   | <input type="checkbox"/> Charge fee(s) indicated below, except for the filing fee |
| <input checked="" type="checkbox"/> Charge any additional fee(s) or underpayments of fee(s) under 37 CFR 1.16 and 1.17 | <input checked="" type="checkbox"/> Credit any overpayments                       |

|   |                    |                     |   |                     |                         |                      |                       |
|---|--------------------|---------------------|---|---------------------|-------------------------|----------------------|-----------------------|
| <b>FEE CALCULATION</b>  |                    |                     |   |                     |                         |                      |                       |
| <b>1. BASIC FILING, SEARCH, AND EXAMINATION FEES</b>  |                    |                     |   |                     |                         |                      |                       |
|   | <b>FILING FEES</b> |                     | <b>SEARCH FEES</b>                                      |                     | <b>EXAMINATION FEES</b> |                      |                       |
|   |                    | <b>Small Entity</b> |   | <b>Small Entity</b> |                         | <b>Small Entity</b>  |                       |
| <b>Application Type</b>   | <b>Fee (\$)</b>    | <b>Fee (\$)</b>     | <b>Fee (\$)</b>   | <b>Fee (\$)</b>     | <b>Fee (\$)</b>         | <b>Fee (\$)</b>      | <b>Fees Paid (\$)</b> |
| Utility   | 300                | 150                 | 500   | 250                 | 200                     | 100                  |                       |
| Design  | 200                | 100                 | 100   | 50                  | 130                     | 65                   |                       |
| Plant   | 200                | 100                 | 300   | 150                 | 160                     | 80                   |                       |
| Reissue   | 300                | 150                 | 500   | 250                 | 600                     | 300                  |                       |
| Provisional   | 200                | 100                 | 0   | 0                   | 0                       | 0                    |                       |
|   |                    |                     |   |                     |                         |                      | <b>Small Entity</b>   |
|   |                    |                     |   |                     |                         |                      | <b>Fee (\$)</b>       |
| Each claim over 20 (including Reissues)   |                    |                     |   |                     |                         |                      | 50                    |
| Each independent claim over 3 (including Reissues)  |                    |                     |   |                     |                         |                      | 200                   |
| Multiple dependent claims   |                    |                     |   |                     |                         |                      | 360                   |
| <b>Total Claims</b>   |                    |                     |   |                     |                         |                      | <b>Fee Paid (\$)</b>  |
| 25 - 25 = _____ x _____ = _____   |                    |                     |   |                     |                         |                      |                       |
| HP = highest number of total claims paid for, if greater than 20.   |                    |                     |   |                     |                         |                      |                       |
| <b>Indep. Claims</b>  |                    |                     |   |                     |                         |                      | <b>Fee Paid (\$)</b>  |
| 6 - 6 = _____ x _____ = _____   |                    |                     |   |                     |                         |                      |                       |
| HP = highest number of independent claims paid for, if greater than 3.  |                    |                     |   |                     |                         |                      |                       |
| <b>2. EXCESS CLAIM FEES</b>   |                    |                     |   |                     |                         |                      |                       |
| If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listings under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s). |                    |                     |   |                     |                         |                      |                       |
| <b>Total Sheets</b>   |                    | <b>Extra Sheets</b> | <b>Number of each additional 50 or fraction thereof</b> |                     | <b>Fee (\$)</b>         | <b>Fee Paid (\$)</b> |                       |
| _____ - 100 = _____   |                    | /50                 | (round up to a whole number) x _____                    |                     | = _____                 |                      |                       |
| <b>3. APPLICATION SIZE FEE</b>  |                    |                     |   |                     |                         |                      |                       |
| <b>4. OTHER FEE(S)</b>  |                    |                     |   |                     |                         |                      |                       |
| Non-English Specification, \$130 fee (no small entity discount)   |                    |                     |   |                     |                         |                      |                       |
| Other (e.g., late filing surcharge): 1806 Submission of an Information Disclosure Statement   |                    |                     |   |                     |                         |                      | 180.00                |

|                     |                |                                   |                |
|---------------------|----------------|-----------------------------------|----------------|
| <b>SUBMITTED BY</b> |                |                                   |                |
| Signature           |                | Registration No. (Attorney/Agent) | 32,181         |
| Name (Print/Type)   | Marc S. Weiner | Telephone                         | (703) 205-8000 |
|                     |                | Date                              | FEB 23 2007    |



Docket No.: 1110-0258P  
(PATENT)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of:  
Hiroshi YAMAGUCHI

Application No.: 09/448,301

Confirmation No.: 4884

Filed: November 24, 1999

Art Unit: 2624

For: RETRIEVAL SYSTEM AND IMAGE  
PROCESSING APPARATUS

Examiner: A. H. Do

**INFORMATION DISCLOSURE STATEMENT**  
**(SUBMISSION AFTER NOTICE OF ALLOWANCE**  
**BUT PRIOR TO PAYMENT OF THE ISSUE FEE)**

**Handcarry To:**  
**U.S. Patent and Trademark Office**  
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**Alexandria, VA 22314**

Sir:

Pursuant to 37 C.F.R. §§ 1.97 and 1.98, applicant(s) hereby submit(s) an Information Disclosure Statement for consideration by the Examiner.

I. LIST OF PATENTS, PUBLICATIONS OR OTHER INFORMATION

The patents, publications, or other information submitted for consideration by the Office are listed on the PTO-SB08(s), attached hereto.

02/26/2007 SZEWDIE1 00000009 09448301

01 FC:1806

180.00 DP

II. COPIES

☒ Copies of cited U.S. patents and patent application publications are not included. Copies of foreign patent documents and non-patent literature are included.

III. CONCISE EXPLANATION OF THE RELEVANCE

(Check at least one box)

☐ a. DOCUMENTS IN THE ENGLISH LANGUAGE - The patents, publications, or other information listed on the attached PTO SB08 are in the English language and therefore, do not require a statement of relevancy.

☒ b. DOCUMENTS NOT IN THE ENGLISH LANGUAGE - A concise explanation of the relevance of all patents, publications, or other information listed that is not in the English language is as follows: **An English translation of JP 7-336723A is attached; USP 5,940,824 corresponds to JP 8-305718A; USP 5,892,546 corresponds to JP 5-46683A; and USP 6,064,427 corresponds to JP 10-215356A.**

☐ c. ENGLISH LANGUAGE SEARCH REPORT - An English language version of the search report or action that indicates the degree of relevance found by the foreign office is attached, thereby satisfying the requirement for a concise explanation. See MPEP 609(III)(A)(3).

☒ d. OTHER - The following additional information is provided for the Examiner's consideration. **A foreign Office Action and it's partial translation are attached.**

THIS IDS IS BEING FILED UNDER 37 C.F.R. § 1.97(d): After the mailing date of a Notice of Allowance. See the Statement Under 37 C.F.R. § 1.97(e).

IV. STATEMENT UNDER 37 C.F.R. § 1.97(e)

(check only one box)

The undersigned hereby states that:

☐ a. **Each item of information contained in the IDS was first cited in any communication from a foreign Patent Office in a counterpart foreign application not more than 30 days prior to the filing of this IDS; or**

☒ b. Each item of information contained in the IDS was first cited in any communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this IDS; or

☐ c. No item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of IDS was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of the IDS.

☐ d. Some of the items of information were cited in a communication from a foreign Patent Office. As to this information, the undersigned states that each item of information contained in the IDS was first cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this IDS. As to the remaining information, the undersigned hereby states that no item of this remaining information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application and, to the best of my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this statement.

V. PAYMENT OF FEES (check one box)


☒ The required fee is listed on the attached Fee Transmittal.

If the Examiner has any questions concerning this IDS, he/she is requested to contact the undersigned. If it is determined that this IDS has been filed under the wrong rule, the PTO is requested to consider this IDS under the proper rule and charge the appropriate fee to Deposit Account No. 02-2448.

If necessary, the Commissioner is hereby authorized in this, concurrent, and future replies, to charge payment or credit any overpayment to our Deposit Account No. 02-2448 for any additional fees required under 37 C.F.R. § 1.16 or under § 1.17; particularly, extension of time fees.

Dated: **FEB 23 2007**

Respectfully submitted,

By 

Marc S. Weiner

Registration No.: 32,181

BIRCH, STEWART, KOLASCH & BIRCH, LLP

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P.O. Box 747

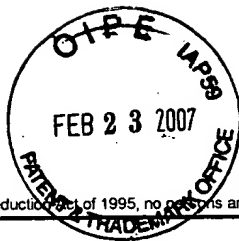
Falls Church, Virginia 22040-0747

(703) 205-8000

Attorney for Applicant

Attachment(s):

- ☒ PTO-SB08
- ☒ Documents
- ☒ Foreign Search Report
- ☒ Fee
- ☐ Other:



PTO/SB/08A/B (09-06)

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|  |   |    |                          |                        |            |
|--|---|----|--------------------------|------------------------|------------|
| <b>Substitute for form 1449/PTO</b><br><br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br>(Use as many sheets as necessary) |   |    | <b>Complete if Known</b> |                        |            |
|  |   |    | Application Number       | 09/448,301-Conf. #4884 |            |
|  |   |    | Filing Date              | November 24, 1999      |            |
|  |   |    | First Named Inventor     | Hiroshi YAMAGUCHI      |            |
|  |   |    | Art Unit                 | 2624                   |            |
|  |   |    | Examiner Name            | A. H. Do               |            |
| Sheet  | 1 | of | 1                        | Attorney Docket Number | 1110-0258P |

| U.S. PATENT DOCUMENTS |                          |  |                                |  |   |
|-----------------------|--------------------------|--|--------------------------------|--|---|
| Examiner<br>Initials* | Cite<br>No. <sup>1</sup> | Document Number                          | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear |
|                       |                          | Number-Kind Code <sup>2</sup> (if known) |                                |  |   |
|                       | AA*                      | US-5,940,824                             | 08-17-1999                     | Takahashi  |   |
|                       | AB*                      | US-5,892,546                             | 04-06-1999                     | Hirabayashi et al.                                 |   |
|                       | AC*                      | US-6,064,427                             | 05-16-2000                     | Shiota et al.                                      |   |

| FOREIGN PATENT DOCUMENTS |                       |   |                  |   |   |                |
|--------------------------|-----------------------|---|------------------|---|---|----------------|
| Examiner Initials*       | Cite No. <sup>1</sup> | Foreign Patent Document   | Publication Date | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T <sup>6</sup> |
|                          |                       | Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known) | MM-DD-YYYY       |   |   |                |
|                          | BA                    | JP-8-305718-A   | 11-22-1996       |   |   |                |
|                          | BB                    | JP-7-336723-A   | 12-22-1995       |   |   | √              |
|                          | BC                    | JP-5-46683-A  | 02-26-1993       |   |   |                |
|                          | BD                    | JP-10-215356-A  | 08-11-1998       |   |   |                |

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. \* CITE NO.: Those application(s) which are marked with an asterisk (\*) next to the Cite No. are not supplied (under 37 CFR 1.98(a)(2)(iii)) because that application was filed after June 30, 2003 or is available in the IFW. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

| NON PATENT LITERATURE DOCUMENTS |                          |   |                |
|---------------------------------|--------------------------|---|----------------|
| Examiner<br>Initials            | Cite<br>No. <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T <sup>2</sup> |
|                                 |                          |   |                |

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

|                       |                    |
|-----------------------|--------------------|
| Examiner<br>Signature | Date<br>Considered |
|-----------------------|--------------------|

Birch, Stewart, Kolasch &amp; Birch, LLP

MSW/CTT/bsh